



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

SHEPPARD et al.

Appl. No. 09/526,100

Filed: March 15, 2000

For: OPTICAL CONVERSION DEVICE

Art Unit: 2756

Examiner: Unassigned

Atty. Docket: 025684.113-US

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### Information Disclosure Statement

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97, and 1.98.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith. It is further understood that the Examiner will consider information that had been cited by or submitted to the U.S. Patent and Trademark Office in a prior application relied on under 35 U.S.C. § 120. 1138 OG 37, 38 (May 19, 1992).

Applicants have checked the appropriate boxes below.

- ☒ 1. This Information Disclosure Statement is being filed within three months of the U.S. filing date OR before the mailing date of a first Office Action on the merits. No statement under 37 C.F.R. § 1.97(e) or fee is required.
- ☐ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance.
  - ☐ a. I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
  - ☐ b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
  - ☐ c. Attached is our Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p).

- ☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. It is hereby requested that the Information Disclosure Statement be considered. Attached is our Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(i).
- ☐ a. I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
- ☐ b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ 4. Relevance of the non-English language document(s) is discussed in the present specification.
- ☐ 5. The document(s) was/were cited in a corresponding foreign application. An English language version of the foreign search report is attached for the Examiner's information.
- ☐ 6. A concise explanation of the relevance of the non-English language document(s) appears below:
- ☒ 7. The Examiner's attention is directed to co-pending U.S. Patent Application No. 09/612,562, filed July 7, 2000, which is directed to related technical subject matter. The identification of this U.S. Patent Application is not to be construed as a waiver of secrecy as to that application now or upon issuance of the present

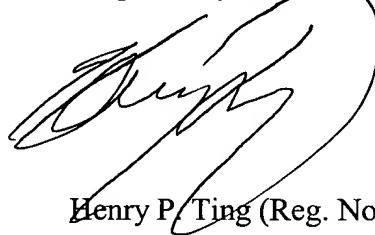
application as a patent. The Examiner is respectfully requested to consider the cited application and the art cited therein during examination.

- ☐ 8. Copies of the documents were cited by or submitted to the Office in Application No. \_\_\_\_\_, filed \_\_\_\_\_, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and to indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 50-0740, referencing Docket No. 25684.113-US.

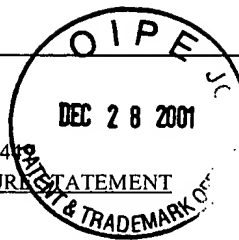
Respectfully submitted,

A handwritten signature in black ink, appearing to read 'Henry P. Ting', is written over a large, loopy circular flourish.

Henry P. Ting (Reg. No. 46,278)

Date: December 28, 2001

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FORM PTO-1419  
INFORMATION DISCLOSURE STATEMENT

ATTY. DOCKET NO. 25684.113-US

APPLICATION NO. 09/526,100

APPLICANTS: SHEPPARD et al.

FILING DATE: March 15, 2000

GROUP 2756

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## U.S. PATENT DOCUMENTS

EXAMINER INITIALS	REF. NO.	DOCUMENT NUMBER	GRANT DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA1	5,715,020	02/03/98	Kuroiwa et al.	348	734	02/23/96
	AB1	5,933,192	08/03/99	Crosby et al.	348	10	06/18/97
	AC1	5,610,916	03/11/97	Kostreski et al.	370	69	05/16/95
	AD1	5,651,010	07/22/97	Kostreski et al.	370	50	03/16/95
	AE1	5,659,353	08/19/97	Kostreski et al.	348	21	03/17/95
	AF1	5,729,279	03/17/98	Fuller	348	384	01/26/95
	AG1	5,521,631	05/28/96	Budow et al.	348	6	05/25/94
	AH1	5,628,055	05/06/97	Stein	455	89	12/12/94
	AI1	5,842,111	11/24/98	Byers	348	10	08/23/96
	AJ1	5,936,660	08/10/99	Gurantz	348	734	12/10/97
	AK1	5,917,624	06/29/99	Wagner	359	125	08/07/96
	AL1	6,317,884	11/13/01	Eames et al.	348	6	02/19/98
	AM1	5,953,045	09/14/99	Tanishima	348	10	09/25/96
	AN1	5,708,961	01/13/98	Hylton et al.	348	6	08/18/95
	AO1	5,701,152	12/23/97	Chen	455	2	09/28/95

EXAMINER INITIALS	REF. NO.	OTHER (Including Author, Title, Date, Pertinent Pages, etc.)
	AP 1	Co-Pending Related U.S. Patent Application No. 09/612,562 Title: Wireless and xDSL Residential Gateway and System Filed: July 7, 2000
	AQ 1	
	AR 1	
	AS 1	
	AT 1	

EXAMINER	DATE CONSIDERED
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**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.